



## Agency Records Disposition Schedule

Department: Office of the Secretary of State

Section:

Division: Securities

Sub-Section:

**TITLE:** Agent, Broker-Dealer and Investment Adviser Files -  
Withdrawn/Cancelled/Denied

**CUTOFF:**EOCY in which file closed

**DESCRIPTION:** Records contain applications, exhibits and related correspondence of withdrawn, canceled, or denied Agent, Broker-Dealer and Investment Advisers registrations.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 13606

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

**TITLE:** Agents Registration Files

**CUTOFF:**EOCY in which registration expires

**DESCRIPTION:** Contains applications, exhibits and correspondence related to the registration of agents to transact securities business in the state of Missouri.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 13607

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

**TITLE:** Broker-Dealer Registration Files

**CUTOFF:**EOCY in which registration expires

**DESCRIPTION:** Records contain applications, exhibits and related correspondence related to the registration of Broker-Dealers to transact securities business in the state of Missouri.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 13605

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011



## Agency Records Disposition Schedule

Department: Office of the Secretary of State

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**TITLE:** Cease and Desist Orders/Administrative Orders

**CUTOFF:**EOCY

**DESCRIPTION:** Cease and desist orders/administrative orders issued by the Commissioner of Securities to individuals or companies who are in violation of Missouri Securities Act per 409.113 RSMo. Orders can be used by other states and courts with cases related to respondents.

**RETENTION:** Years: 50 Months: Days:

**NOTES:**

**DISPOSITION ACTION:** Permanent - Transfer to Missouri State Archives

**SERIES:** 18523

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

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**TITLE:** Enforcement Files

**CUTOFF:**Completion of investigation

**DESCRIPTION:** Investigation records, complaint files and related correspondence obtained during the review of complaints in the sale or offering of securities.

**RETENTION:** Years: 50 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 13610

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

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**TITLE:** Exemption and Exclusion Files

**CUTOFF:**EOCY

**DESCRIPTION:** Notices and related correspondence in relation to securities offerings which are excluded or exempt from registration per 409-002.201-202 RSMo.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 13609

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

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## Agency Records Disposition Schedule

Department: Office of the Secretary of State

Section:

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**TITLE:** Investments Advisers Registration Files

**CUTOFF:** EOCY in which registration expires

**DESCRIPTION:** Contains applications, exhibits and correspondence related to the registration of Investment Advisers to transact securities business in the state of Missouri.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 13608

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

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**TITLE:** Securities Registration Files

**CUTOFF:** EOCY

**DESCRIPTION:** Contains applications, exhibits and related correspondence used to examine issuers securities offerings.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 13604

**SERIES STATUS:** Approved

**APPROVAL DATE:** 10/13/2011

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